



Office of City Auditor

Memorandum

DATE: October 10, 2003

TO: Noreen Skagen, Public Safety Civil Service Commission, Chair
David Bown, Public Safety Civil Service Commission
Joel Nark, Public Safety Civil Service Commission

FROM: Susan Cohen, City Auditor

RE: **Follow up on the Office of City Auditor's 2001 reports on the Public Safety Civil Service Commission**

| SUMMARY OF FOLLOW-UP RESULTS ON 20 AUDIT RECOMMENDATIONS | |
|--|---|
| Agency Responsible for Follow-up | Audit Recommendations Requiring Further Follow-up |
| City Council | None |
| Public Safety Civil Service Commission | None |
| Office of City Auditor | None |

The Office of City Auditor has completed its follow-up of the April 2001 *Review of the Public Safety Civil Service Commission*, the April 2001 Management Letter and the May 2001 *Analysis Of Options For Reorganizing The Functions Of The Public Safety Civil Service Commission*. We discussed the recommendations from these reports with the members of the Public Safety Civil Service Commission, the interim Executive Director of the Commission, and with Personnel Department employees who are administering the testing for police officers and firefighters. We also reviewed draft rules being prepared by the Personnel Department to cover the testing function. This audit was conducted in accordance with the Standards for the Professional Practice of Internal Auditing.

Since the audit was conducted in 2001 there have been significant changes at the Public Safety Civil Service Commission. Two of the three Commission members are new, and the Commission has been functioning with a single, half time interim Executive Director. The positions associated with administering police and fire exams (two exam administrators) have been transferred to the Personnel Department's Division of Employment, Training and Equal Opportunity. The Personnel Department re-assigned one administrative specialist to provide support for the exam administrators. Previously the Commission had 4.75 full time equivalent (FTE) employees to cover work now conducted by 3.5 FTEs with management and other support provided by the Personnel Department.

Most of the recommendations in our reports have been eclipsed by the changes noted above. Many of the recommendations addressed deficiencies in the management of staff of the Public Safety Civil Service Commission and a staff member's misuse of rental cars paid for by the City.

The current structure of the Commission provides for only one employee, the Executive Director, and this position no longer oversees subordinate staff. The Executive Director takes direction from the Commissioners, and the lines of authority are clear for the functions that remain with the Public Safety Civil Service Commission. Furthermore, as managed by the Personnel Department, the test administration function no longer warrants the use of rental cars. The management of the test administration function within the Personnel Department appears to be good, with regular supervision and annual performance reviews.

The attached matrix displays each of the recommendations from the Office of City Auditor reports and letters of 2001, and shows whether the recommendation was implemented or not. Where recommendations are still within the power of the Commission to implement, our review noted that improvement has occurred.

We would like to thank the Public Safety Civil Service Commission members, the interim Executive Director, and staff in the Personnel Department for their assistance in completing this follow-up.

cc: Seattle City Councilmembers
Aaron Bert, Department of Finance
Mary Effertz, Acting Executive Director, Public Safety Civil Service Commission

Attachment

Public Safety Civil Service Commission
Follow-up of Audit Recommendations from 2001

| Audit Finding | Done/not/ na | Comments |
|---|---------------------|--|
| From the Audit: <i>Public Safety Civil Service Commission's Budget Rent A Car Practices</i> page i of Executive Summary | | |
| Recommendations: | | |
| · The Admin Spec should reimburse the City for \$523.42 for personal use of rental cars. | no | The Ethics and Elections Commission issued Written Determination No. 01-1-0221-1 on November 19, 2001 and ordered the employee to pay the City a total of \$5,257.88 in fines (\$4,500) and reimbursements (\$757.88). There is no record of payment being made. |
| · PSCSC should develop a clear policy and guideline regarding use of rental cars that complies with the SMC. | n/a | PSCSC no longer responsible. The policy is clearly stated in Ordinance 100458, in the City Travel Policy, and in Ethics policy SMC 4.16.070.2.b, which prohibits use of City funds or property for other than a City purpose. |
| · The management should establish appropriate internal controls to account for expenses incurred by using rental cars. | n/a | PSCSC no longer responsible. Personnel now does this function. |
| · The City motor pool should be contacted each time prior to renting from an external vendor. | n/a | PSCSC no longer responsible. |
| · The Admin Spec should stop personal use of vehicles, including for commuting. | n/a | PSCSC no longer responsible. |
| · Consult with the Personnel Dept to determine if car ownership is a job requirement. | Done: | Personnel requires the employee to arrange access to the jobsite. All current staff have cars. |
| | | |
| From letter of April 24, 2001, quoting from Washington Firm LTD analysis of PSCSC management issues of January 2001: | | |
| · Management failed to ensure that staff performed assigned tasks according to acceptable standards, failed to evaluate staff or address training needs, and failed to coach, counsel & discipline staff. | n/a | PSCSC was reduced to one staff position in the 2002 budget. The position no longer manages subordinate staff, and has been filled on an interim basis since February 2003. |
| · Management didn't closely monitor overtime | n/a | PSCSC was reduced to one staff position in the 2002 budget. The position no longer manages subordinate staff, and has been filled on an interim basis since February 2003. |

Public Safety Civil Service Commission
Follow-up of Audit Recommendations from 2001

| Audit Finding | Done/not/ na | Comments |
|---|----------------------------|--|
| · Continuing out of class assignment of employee unable to perform routine tasks, use of temporary staff to cover routine work, and potential abuse of managerial authority. | n/a | PSCSC was reduced to one staff position in the 2002 budget. The position no longer manages subordinate staff, and has been filled on an interim basis since February 2003. |
| Prior investigations: | | |
| · Violation of the ethics code – use of City equipment | confirmed | The Ethics and Elections Commission issued Written Determination No. 01-1-0221-1 on November 19, 2001 and ordered the employee to pay the City a total of \$5,257.88 in fines (\$4,500) and reimbursements (\$757.88). |
| · Overexpenditure of budget in 1996 and 1997 | done | The duties that were causing the budget over-runs have been transferred to Personnel. PSCSC is within budget. |
| · Increased pattern of overtime on weekends. | n/a | The Ethics and Elections Commission Written Determination No. 01-1-0221-1 found that Ms. Hill charged the City for overtime she did not work. This function was shifted to Personnel. There is some overtime when tests are administered on weekends. This is monitored by Personnel Dept. management. |
| May 1, 2001 letter: Options analysis for structural changes: | | |
| Problems with current structure: | | |
| · PSCSC meets intermittently, diminishing oversight of day to day issues | Improvement reported. | PSCSC has monthly meetings regularly scheduled. |
| · Inadequate management and internal controls with clear lines of authority – when problems surface no one in authority accepts responsibility for initiating action to resolve the issues. | Improvement reported. | With the reorganization, the PSCSC has only one staff position that reports to the PSCSC directly. The lines of authority are clear. |
| · Lack of compliance with City laws and policies | n/a | The PSCSC and its staff no longer have responsibility over the areas where policies were violated. |
| · No agency with authority to enforce against PSCSC | Organization change helps. | Ethics & Elections did issue findings; The Mayor recommended and the Council transferred responsibility for test administration to Personnel in the 2002 budget. |
| · Inadequate expert support for dealing with financial or legal issues | Improvement reported. | Commissioners report adequate Law Dept and Budget Office support and fewer responsibilities. |

Public Safety Civil Service Commission
Follow-up of Audit Recommendations from 2001

| Audit Finding | Done/not/ na | Comments |
|--|--------------|----------|
| | | |
| Options to current structure: | | |
| 1. Incorporate the non-appeal functions into the Personnel Department | done | |
| 2. Combine PSCSC and CSC | no | |
| 3. Have Secretary and Chief Examiner report either w/in SFD or SPD; (though this would compromise the perception of impartiality). | no | |

Office of City Auditor's Report Evaluation Form

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HELP US SERVE THE CITY BETTER

Our mission at the Office of City Auditor is to help assist the City in achieving honest, efficient management and full accountability throughout the City government. We service the public interest by providing the Mayor, the City Council and City managers with accurate information, unbiased analysis, and objective recommendations on how best to use public resources in support of the well-being of the citizens of Seattle.

Your feedback helps us do a better job. If you could please take a few minutes to fill out the following information for us, it will help us assess and improve our work.

* * * * *

Report: **Public Safety Civil Service Commission Follow-Up**

Release Date:

Please rate the following elements of this report by checking the appropriate box:

| | Too Little | Just Right | Too Much |
|------------------------|-------------------|-------------------|-----------------|
| Background Information | | | |
| Details | | | |
| Length of Report | | | |
| Clarity of Writing | | | |
| Potential Impact | | | |

Suggestions for our report format: _____

Suggestions for future studies: _____

Other comments, thoughts, ideas: _____

Name (Optional): _____

Thanks for taking the time to help us.

Fax: 206/684-0900

E-Mail: auditor@seattle.gov

Mail: Office of City Auditor, 700 Fifth Avenue, Suite 2410, Seattle, WA 98104-5030

Call: Susan Cohen, City Auditor, 206-233-3801

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